Version 11

March 2024

## **Group training organisaiton auditor’s checklist**

All group training organisation auditors are required to complete this checklist with each audit. The completed form must then be forwarded within seven days of the audit completion to:

Senior Program Officer

Stakeholder and Industry Relations Unit

Department of Employment, Small Business and Training

PO Box 15483

CITY EAST QLD 4002

Email: SIRT@desbt.qld.gov.au

National standards for group training organisations - Audits

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| **Lead auditor’s responsibilities** | **Action taken** | **Completed and date and initials** |
| **Pre-audit activities** |
| 1 | Following contact from a group training organisation, assess the conflict of interest situation. Complete a declaration form if there is a real or perceived conflict of interest of if you are unsure. Forward the form to the departmental officer for formal clarification prior to proceeding with audit arrangements. |  |  |
| 2 | Reach agreement on the audit program and payment terms with the group training organisation representative. |  |  |
| 3 | Request the group training organisation forwards its self-assessment or internal audit report including evidence or an initial desktop audit prior to the site visit. |  |  |
| 4 | Contact the department for information on the scope and history of the group training organisation. |  |  |
| 5 | If applicable, ensure all audit team members are aware of their roles and responsibilities for the audit. |  |  |
| 6 | Undertake an initial desktop audit using the self-assessment or internal audit report and related evidence. |  |  |
| 7 | Schedule a site visit and work out the logistics in consultation with the group training organisation. |  |  |
| 8 | Contact the department’s assistant regional director of training – in the region where the group training organisation is located – concerning the scheduled audit. The assistant regional director may allocate a departmental representative as an observer in the audit process. Make the necessary arrangements with the observer. |  |  |
| **Lead auditor’s responsibilities** | **Action taken** | **Completed and date and initials** |
| **One day prior to visit** |
| 1 | Contact the group training organisation to confirm commencement time, location and staff availability for the site visit. Make sure rooms are booked for the opening and closing meeting. |  |  |
| 2 | Check that the necessary travel and/or accommodation arrangements have been made. |  |  |
| 3 | Ensure all reports and forms are ready including:* the Quality Audit Report
* a copy of the confidentiality deed
* a copy of the observer’s confidentiality deed which has been lodged

Ensure you have any other relevant material on hand such as the *National Standards for Group* *Training* Organisations and the resource handbook. |  |  |

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| **Lead auditor’s responsibilities** | **Action taken** | **Completed and date and initials** |
| **Site visit – opening meeting** |
| 1 | Introduce members of the audit team and the observers and their outline roles. |  |  |
| 2 | Confirm the titles, roles and responsibilities of each representative of the organisation present. Check personnel and resources are available throughout the audit. |  |  |
| 3 | Confirm the purpose and scope of the audit, including evidence gathering and recording/ |  |  |
| 4 | Determine who in the organisation has the defined responsibility and authority to ensure compliance with the national standards. Clearly outline the auditor will be liaising with this person throughout the audit process. |  |  |
| 5 | Ensure that the designated persons of the organisation have direct access to the organisation’s chief executive officer. |  |  |
| 6 | Outline the process of the audit findings including the rectification period. Information provided should also include timelines applicable to various activities. |  |  |
| 7 | Assure those being audited that all information provided is kept in confidence and that each audit team member has signed a confidentiality declaration. |  |  |
| 8 | Provide a copy of the confidentiality deeds. |  |  |
| 9 | Emphasise that the audit activity is focused on value adding. |  |  |
| 10 | Outline that here will be an opportunity during the closing meeting to discuss and clarify issues before the audit team departs from the site. |  |  |
| 11 | Before commencing the audit, ask if clarification of the process is needed to ensure understanding of it. |  |  |
| 12 | Confirm the time of the exit meeting and the required attendees. |  |  |

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| **Lead auditor’s responsibilities** | **Action taken** | **Completed and date and initials** |
| **Site visit – closing meeting** |
| 1 | Thank participants for their assistance. |  |  |
| 2 | Advise the purpose of the closing meeting is to present an objective overview of the audit results, both the positive and the negative. |  |  |
| 3 | Outline the process of the audit findings. |  |  |
| 4 | Reiterate the audit activity procedure as describe at the opening meeting. |  |  |
| 5 | Discuss the audit findings, Ensure the representatives are clear about the issues both the positive and the negative. |  |  |
| 6 | Address any non-compliance issues and advise the organisation of the 14-day timeline for rectification. |  |  |
| 7 | Complete the requirements of the System Improvement Plan and forward to the department for approval. |  |  |
| 8 | Reiterate that recommendation on compliance will only be made when the final report is submitted. |  |  |
| 9 | Reiterate all information provided will remain confidential. |  |  |
| 10 | Provide an Audit Evaluation Form and encourage the organisation to complete it and return it directly to the department by fax or sealed envelope. |  |  |

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| **Lead auditor’s responsibilities** | **Action taken** | **Completed and date and initials** |
| **Post audit activities** |
| 1 | Signoff by the group training organisation is required on the audit report prior to submission. |  |  |
| 2 | The audit report has been submitted with recommendation on compliance. The auditor’s checklist has also been submitted to the department. |  |  |